



2815

**UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: KAO et al. Docket No: 16405-0311  
Serial No: 09/256,265 Group Art Unit 2815  
Filing Date: February 23, 1999 Examiner: Diaz, J.  
Title: **"METHOD AND APPARATUS FOR SPLIT GATE SOURCE SIDE  
INJECTION FLASH MEMORY CELL AND ARRAY WITH  
DEDICATED ERASE GATES"**

Box Non Fee Amendment  
Assistant Commissioner for Patents  
Washington, D.C. 20231

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**AMENDMENT TRANSMITTAL**

- ☒ Transmitted herewith is:
- ☒ An amendment for this application; and
  - ☒ Version with Markings to Show Changes Made.

**STATUS**

- ☒ Applicant is a large entity.

**EXTENSION OF TIME**

- ☐ Applicant petitions for an extension of time under 37 CFR 1.136 for the total number of months checked below:

	Extension (months)	Fee for other than <u>small entity</u>	Fee for <u>small entity</u>
<input type="checkbox"/>	one month	\$ 110.00	\$ 55.00
<input type="checkbox"/>	two months	\$ 390.00	\$195.00
<input type="checkbox"/>	three months	\$ 890.00	\$445.00
<input type="checkbox"/>	four months	\$1,390.00	\$695.00

- ☐ If an additional extension of time is required please consider this a petition therefor.

- ☐ An extension for \_\_\_\_\_ months has already been secured and the fee paid therefor of \$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

**Extension fee due with this request \$0.00****CERTIFICATE OF MAILING (37 CFR 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited on September 18, 2001, with the U.S. Postal Service as first class mail in an envelope addressed to: Box Non Fee Amendment, Commissioner for Patents, Washington, D.C. 20231.

Date: September 18, 2001

  
Yolette Yturralde-Owen



Applicant believes that no extension of time is required. However, this conditional petition is hereby made to provide for the possibility that applicant has inadvertently overlooked the need for a petition for extension of time.

### FEE FOR CLAIMS



The fee for claims (37 CFR 1.16(b)-(d)) has been calculated as shown below:

(Col. 1)		(Col. 2)	(Col. 3)	SMALL ENTITY	OR	OTHER THAN A SMALL ENTITY	
Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Addit. Fee	Rate	Addit. Fee
Total *	Minus	= 0	x9=	\$		x18=	\$0
Indep. *	Minus	= 0	x40=	\$		x80=	\$0
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				+135=	\$	x270=	\$0
				TOTAL ADDIT. FEE	\$0	OR	TOTAL ADDIT. FEE \$0



No additional fee for claims required.



Total additional fee for claims required \$0.<sup>00</sup>

### FEE PAYMENT



Attached is check No. 126 the sum of \$0.<sup>00</sup> as payment for \_\_\_\_\_.



Charge Account No. 02-3964 the sum of \$\_\_\_\_\_. A duplicate of this transmittal is attached.

### FEE DEFICIENCY




In the event that: a) no check to cover the filing fee is enclosed, b) any above-referenced check is inadvertently omitted or lost, or c) any enclosed check is in an amount less than or greater than the required fee, the Commissioner is authorized to charge any required fees, additional fees, or credit any overpayment to Deposit Account 02-3964. A duplicate of this authorization is enclosed for that purpose.



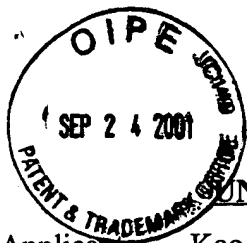
Attached is a postcard for date-stamped return as confirmation of receipt of these materials.

Date: September 18, 2001

  
Justin Boyce  
Reg. No. 40,920

**OPPENHEIMER WOLFF & DONNELLY LLP**

Customer No. 25969



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*J MacKey*  
*9-29-01*  
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**AMENDMENT**

Sir:

This Amendment is submitted in response to the Final Office Action dated July 18, 2001, relating to the above-identified application, Applicants respectfully request reconsideration of the patent application in remarks. Please amend the above-identified application as follows:

**In the Claims:**

- 1 1. (Twice Amended) A semiconductor device having at least one transistor, the device
- 2 comprising:
- 3 a substrate having a channel region defined thereon;
- 4 a first insulating layer disposed over said channel region and over at least a portion of
- 5 said substrate;
- 6 a floating gate generally disposed over said channel region and separated therefrom by
- 7 said first insulating layer, said floating gate having at least two side walls and a top surface;
- 8 a second insulating layer disposed over said side walls and over said top surface of said
- 9 floating gate;
- 10 a control gate having a first portion disposed over a portion of said substrate and being
- 11 separated therefrom by said second insulating layer, a second portion formed over a first one of
- 12 said side walls and a third portion formed over at least a portion of said top surface of said